

**Chief Compliance Officer
Office of Enterprise Compliance
November 15, 2011**

Item 4b – Attachment 1

Board Assignment Status

Assignment Date	Request / Subject	Due Date	Status / Completed Date
Dec 2010	Allegation cases for Board Members and Executive staff should be investigated by an outside party.	November	<p>Current Status: This item is being addressed in the Investigation workgroup. The workgroup determined that ECOM would take this item offline and work with ISOF staff to develop an escalation flow chart to better define the roles and responsibilities of those involved in the various stages of escalating an Ethics Helpline complaint.</p> <p>Previously Reported: Staff is researching and developing an escalation protocol to refer Ethics Helpline issues to an external party when deemed appropriate for external investigation or review.</p>

Other Items of Interest

Item of Interest	Status / Completed Date
Program Activities	<ul style="list-style-type: none"> • ECOM personnel presented three sessions of Compliance and Ethics Everyone's responsibility in New Employee Orientation on July 27, 2011, September 7, 2011 and October 11, 2011. • ECOM personnel presented one session of Compliance and Ethics Everyone's responsibility in Leadership Essentials and Direction for your Emerging Role on October 12, 2011.
Reporting Non-Compliance Issues	Ongoing
Compliance Area Manager – Investments	<ul style="list-style-type: none"> • Global Equities and Fixed Income Compliance Area Managers (CAM) are monitoring investments daily and providing summaries of compliance alerts as appropriate. • CAMs worked with INVO and LEGO on Investment policy reviews.

Item of Interest	Status / Completed Date
Compliance Area Manager – Transparency and Disclosure	<ul style="list-style-type: none"> In accordance with CalPERS Form 700 and Travel Transparency Policy, ECOM posted the Transparency filers financial disclosures and travel summaries to the CalPERS external website.